

<b>AGENCY INFORMATION SECURITY PROGRAM DATA</b>				1. PERIOD COVERED		INTERAGENCY REPORT CONTROL NUMBER						
				A. FROM 10/01/94	B. TO 09/30/95	0230-GSA-AN						
2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT U.S. Securities and Exchange Commission				3. CONTACT FOR ADDITIONAL INFORMATION (Name, office and telephone no.) Darlene Pryor Office of the Executive Director (b)(6)								
4. SENIOR OFFICIAL (Section 5.3, E.O. 12356)												
5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES												
A. TOP SECRET 0		B. SECRET 0		C. CONFIDENTIAL 0		D. TOTAL 0						
6. ADDITIONAL DECLASSIFICATION AUTHORITIES												
A. TOP SECRET 0		B. SECRET 0		C. CONFIDENTIAL 0		D. TOTAL 0						
7. CLASSIFICATION DECISIONS		ORIGINAL						DERIVATIVE				
		DATE OR EVENT (a)			ORIGINATING AGENCY'S DETERMINATION REQUIRED (O.A.D.R.) (b)							
A. TOP SECRET		N/A			0			0				
B. SECRET		N/A			0			0				
C. CONFIDENTIAL		N/A			0			0				
8. MANDATORY REVIEW REQUESTS AND APPEALS												
	CASES CARRIED OVER FROM PREVIOUS PERIOD (a)	NEW CASES RECEIVED (b)	DECLASSIFICATION DECISIONS (Report in cases, documents, and pages)									CASES CARRIED OVER TO NEXT PERIOD (f)
			GRANTED IN FULL (c)			GRANTED IN PART (d)			DENIED (e)			
			CASES	DOCS.	PAGES	CASES	DOCS.	PAGES	CASES	DOCS.	PAGES	
A. REQUESTS	0	0	0	0	0	0	0	0	0	0	0	0
B. APPEALS	0	0	0	0	0	0	0	0	0	0	0	0
9. SYSTEMATIC REVIEW FOR DECLASSIFICATION (In pages)								10. NUMBER OF FORMAL INSPECTIONS, SURVEYS, OR PROGRAM REVIEWS				
A. REVIEWED 0			B. DECLASSIFIED 0					1				
11. NUMBER OF INFRACTIONS INVOLVING:												
A. OVERCLASSIFICATION 0			B. UNDERCLASSIFICATION 0			C. CLASSIFICATION WITHOUT AUTHORITY 0			D. MISMARKING 0			
E. IMPROPER DESTRUCTION 0		F. UNAUTHORIZED ACCESS 0		G. IMPROPER STORAGE 0		H. IMPROPER REPRODUCTION 0		I. IMPROPER TRANSMISSION 0		J. OTHER (Elaborate under Item 12) 0		
12. REMARKS												

<b>AGENCY INFORMATION SECURITY PROGRAM DATA</b>				1. PERIOD COVERED			INTERAGENCY REPORT CONTROL NUMBER						
				A. FROM 10-1-95		B. TO 9-30-96		0230-GSA-AN					
2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT  U.S. Securities and Exchange Commission				3. CONTACT FOR ADDITIONAL INFORMATION (Name, office and telephone no.) Darlene Pryor Office of the Executive Director									
4. SENIOR OFFICIAL (Section 6.3, E.O. 12356)  James McConnell				(b)(6)									
5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES													
A. TOP SECRET		B. SECRET		C. CONFIDENTIAL			D. TOTAL						
0		0		0			0						
6. ADDITIONAL DECLASSIFICATION AUTHORITIES													
A. TOP SECRET		B. SECRET		C. CONFIDENTIAL			D. TOTAL						
7. CLASSIFICATION DECISIONS		ORIGINAL						DERIVATIVE					
		Declassify in 10 Years (a)			Exempt from Declassi- fication 10 Years or less (b)								
A. TOP SECRET		0			0			0					
B. SECRET		0			0			0					
C. CONFIDENTIAL		0			0			0					
8. MANDATORY REVIEW REQUESTS AND APPEALS													
		CASES CARRIED OVER FROM PREVIOUS PERIOD (a)	NEW CASES RECEIVED (b)	CASES FOR WHICH AGENCY IS RESPONSIBLE FOR FINAL DECISION									
				DECLASSIFICATION DECISIONS (Report in cases, documents, and pages)									CASES CARRIED OVER TO NEXT PERIOD (f)
				GRANTED IN FULL (c)			GRANTED IN PART (d)			DENIED (e)			
				CASES	DOCS.	PAGES	CASES	DOCS.	PAGES	CASES	DOCS.	PAGES	
A. REQUESTS		0	0	0	0	0	0	0	0	0	0	0	0
B. APPEALS		0	0	0	0	0	0	0	0	0	0	0	0
9. Pages Declassified										10. NUMBER OF FORMAL INSPECTIONS, SURVEYS, OR PROGRAM REVIEWS			
A. REVIEWED				B. DECLASSIFIED									
0				0						1			
11. NUMBER OF INFRACTIONS INVOLVING:													
A. OVERCLASSIFICATION				B. UNDERCLASSIFICATION				C. CLASSIFICATION WITHOUT AUTHORITY				D. MISMARKING	
E. IMPROPER DESTRUCTION		F. UNAUTHORIZED ACCESS		G. IMPROPER STORAGE		H. IMPROPER REPRODUCTION		I. IMPROPER TRANSMISSION		J. OTHER (Elaborate under Item 12)			
12. REMARKS													

(IMPORTANT — Read instructions on reverse before completing this form)						INTERAGENCY REPORT CONTROL NUMBER <b>0230-NAR-AN</b>	
<b>AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA</b>						<b>1. FISCAL YEAR COVERED</b>  1997	
<b>2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT</b>  Securities and Exchange Commission				<b>3. CONTACT FOR ADDITIONAL INFORMATION</b> ( <i>Name, office and telephone no.</i> )  Darlene Pryor Office of the Executive Director (b)(6) [REDACTED]			
<b>4. SENIOR AGENCY OFFICIAL</b> ( <i>Section 5.8, E.O. 12958</i> )  James M. McConnell							
<b>5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES</b>							
<b>A. TOP SECRET</b>  0		<b>B. SECRET</b>  0		<b>C. CONFIDENTIAL</b>  0		<b>D. TOTAL</b>  0	
<b>6. NUMBER OF CLASSIFICATION DECISIONS</b>							
<b>CLASSIFICATION LEVEL</b>		<b>ORIGINAL CLASSIFICATION</b>				<b>DERIVATIVE</b>	
		<b>DECLASSIFY IN 10 YEARS OR LESS</b> (a)		<b>EXEMPT FROM DECLASSIFICATION IN 10 YEARS</b> (b)			
<b>A. TOP SECRET</b>		0		0		0	
<b>B. SECRET</b>		0		0		0	
<b>C. CONFIDENTIAL</b>		0		0		0	
<b>7. MANDATORY REVIEW REQUESTS</b>		<b>CASES CARRIED OVER FROM THE PREVIOUS PERIOD</b> (a)	<b>NEW CASES RECEIVED</b> (b)	<b>CASES CARRIED OVER TO NEXT PERIOD</b> (c)	<b>DECLASSIFICATION DECISIONS</b> (Report in pages)		
					<b>GRANTED IN FULL</b> (d)	<b>GRANTED IN PART</b> (e)	<b>DENIED</b> (f)
<b>A. REQUESTS</b>		0	0	0	0	0	0
<b>B. APPEALS</b>		0	0	0	0	0	0
<b>8. PAGES DECLASSIFIED: AUTOMATIC DECLASSIFICATION AND SYSTEMATIC REVIEW FOR DECLASSIFICATION</b> (Sections 3.4 and 3.5 of EO 12958)  0				<b>9. INTERNAL AGENCY OVERSIGHT</b> Number of Formal Inspections, Surveys, or Program Reviews  0			
<b>10. EXPLANATORY COMMENTS</b> (Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to form.)      							



[illegible]





AGENCY SECURITY CLASSIFICATION  
MANAGEMENT PROGRAM DATA

1. FISCAL YEAR COVERED

2000

DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT

Securities and Exchange Commission

3. CONTACT FOR ADDITIONAL INFORMATION (Name, office, and telephone no.)

Darlene Pryor  
Office of the Executive Director

(b)(6)

SENIOR AGENCY OFFICIAL (Section 5.6, E.O. 12958)

James M. McConnell

## 5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES

TOP SECRET	B. SECRET	C. CONFIDENTIAL	D. TOTAL
0	0	0	0

## 6. NUMBER OF CLASSIFICATION DECISIONS

CLASSIFICATION LEVEL	ORIGINAL CLASSIFICATION		DERIVATIVE
	DECLASSIFY IN 10 YEARS OR LESS	EXEMPT FROM DECLASSIFI- CATION IN 10 YEARS	
	(a)	(b)	
TOP SECRET	0	0	0
SECRET	0	0	0
CONFIDENTIAL	0	0	0

MANDATORY REVIEW REQUESTS	CASES CARRIED OVER FROM THE PREVIOUS PERIOD (a)	NEW CASES RECEIVED (b)	CASES CARRIED OVER TO NEXT PERIOD (c)	DECLASSIFICATION DECISIONS (Report in pages)		
				GRANTED IN FULL (d)	GRANTED IN PART (e)	DENIED (f)
REQUESTS	0	0	0	0	0	0
APPEALS	0	0	0	0	0	0

PAGES DECLASSIFIED: AUTOMATIC DECLASSIFICATION AND SYSTEMATIC  
REVIEW FOR DECLASSIFICATION (Sections 3.4 and 3.5 of EO 12958)

0

9. INTERNAL AGENCY OVERSIGHT

Number of Formal Inspections, Surveys, or Program Reviews

0

## 10. EXPLANATORY COMMENTS

Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to

The SEC has minimal involvement with classified information and is primarily a holder of  
classified material.

(IMPORTANT) - Read instructions on reverse before completing this form)

INTERAGENCY REPORT  
CONTROL NUMBER  
0230-NAR-AN

AGENCY SECURITY CLASSIFICATION  
MANAGEMENT PROGRAM DATA

1. FISCAL YEAR COVERED  
2001

2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT

Securities and Exchange Commission

4. SENIOR AGENCY OFFICIAL (Section 5.6, E.O. 12958)

James M. McConnell

3. CONTACT FOR ADDITIONAL INFORMATION (Name, office, and telephone no.)

Darlene L. Pryor

(b)(6)

5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES

A. TOP SECRET

0

B. SECRET

0

C. CONFIDENTIAL

0

D. TOTAL

0

6. NUMBER OF CLASSIFICATION DECISIONS

ORIGINAL CLASSIFICATION

CLASSIFICATION  
LEVEL

DECLASSIFY IN 10 YEARS  
OR LESS

(a)

EXEMPT FROM DECLASSIFI-  
CATION IN 10 YEARS

(b)

DERIVATIVE

A. TOP SECRET

0

0

0

B. SECRET

0

0

0

C. CONFIDENTIAL

0

0

0

7. MANDATORY  
REVIEW  
REQUESTS

CASES  
CARRIED  
OVER FROM  
THE PREVIOUS  
PERIOD  
(a)

NEW CASES  
RECEIVED  
(b)

CASES  
CARRIED  
OVER TO  
NEXT  
PERIOD  
(c)

DECLASSIFICATION DECISIONS  
(Report in pages)

GRANTED IN  
FULL  
(d)

GRANTED IN  
PART  
(e)

DENIED  
(f)

A. REQUESTS

0

0

0

0

0

0

B. APPEALS

0

0

0

0

0

0

8. PAGES DECLASSIFIED: AUTOMATIC DECLASSIFICATION AND SYSTEMATIC  
REVIEW FOR DECLASSIFICATION (Sections 3.4 and 3.5 of EO 12958)

0

9. INTERNAL AGENCY OVERSIGHT

Number of Formal Inspections, Surveys, or Program Reviews

0

10. EXPLANATORY COMMENTS

(Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to

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classified material.



(IMPORTANT - Read instructions on reverse before completing this form)				INTERAGENCY REPORT CONTROL NUMBER <b>0230-NAR-AN</b>		
<b>AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA</b>				1. FISCAL YEAR COVERED <b>2002</b>		
2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT <b>U.S. Securities and Exchange Commission</b>			3. CONTACT FOR ADDITIONAL INFORMATION (Name, office, and telephone no.) <b>Darlene Pryor Office of the Executive Director U.S. Securities and Exchange Commission (b)(6)</b>			
4. SENIOR AGENCY OFFICIAL (Section 5.6, E.O. 12958) <b>James M. McConnell, Executive Director</b>						
<b>5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES</b>						
A. TOP SECRET <b>0</b>	B. SECRET <b>0</b>	C. CONFIDENTIAL <b>0</b>	D. TOTAL <b>0</b>			
<b>6. NUMBER OF CLASSIFICATION DECISIONS</b>						
CLASSIFICATION LEVEL	ORIGINAL CLASSIFICATION		DERIVATIVE			
	DECLASSIFY IN 10 YEARS OR LESS (a)	EXEMPT FROM DECLASSIFI- CATION IN 10 YEARS (b)				
A. TOP SECRET	<b>0</b>	<b>0</b>	<b>0</b>			
B. SECRET	<b>0</b>	<b>0</b>	<b>0</b>			
C. CONFIDENTIAL	<b>0</b>	<b>0</b>	<b>0</b>			
7. MANDATORY REVIEW REQUESTS	CASES CARRIED OVER FROM THE PREVIOUS PERIOD (a)	NEW CASES RECEIVED (b)	CASES CARRIED OVER TO NEXT PERIOD (c)	DECLASSIFICATION DECISIONS (Report in pages)		
				GRANTED IN FULL (d)	GRANTED IN PART (e)	DENIED (f)
A. REQUESTS	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
B. APPEALS	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
8. PAGES DECLASSIFIED: AUTOMATIC DECLASSIFICATION AND SYSTEMATIC REVIEW FOR DECLASSIFICATION (Sections 3.4 and 3.5 of EO 12958) <b>0</b>			9. INTERNAL AGENCY OVERSIGHT Number of Formal Inspections, Surveys, or Program Reviews <b>0</b>			
<b>10. EXPLANATORY COMMENTS</b>						
(Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to						
<p>The Securities and Exchange Commission has minimal involvement with classified information and is primarily a holder of classified material.</p> <p> </p> <p> </p> <p> </p> <p> </p> <p> </p>						

(IMPORTANT - Read instructions on reverse before completing this form)				INTERAGENCY REPORT CONTROL NUMBER  0230-NAR-AN		
AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA				1. FISCAL YEAR COVERED  2003		
2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT  U.S. Securities and Exchange Commission			3. CONTACT FOR ADDITIONAL INFORMATION (Name, office, and telephone no.)  Darlene L. Pryor Office of the Executive Director (b)(6)			
4. SENIOR AGENCY OFFICIAL (Section 5.6, E.O. 12958)  James M. McConnell, Executive Director						
5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES						
A. TOP SECRET  0	B. SECRET  0	C. CONFIDENTIAL  0	D. TOTAL  0			
6. NUMBER OF CLASSIFICATION DECISIONS						
CLASSIFICATION LEVEL	ORIGINAL CLASSIFICATION		DERIVATIVE			
	DECLASSIFY IN 10 YEARS OR LESS (a)	EXEMPT FROM DECLASSIFI- CATION IN 10 YEARS (b)				
A. TOP SECRET	0	0	0			
B. SECRET	0	0	0			
C. CONFIDENTIAL	0	0	0			
7. MANDATORY REVIEW REQUESTS	CASES CARRIED OVER FROM THE PREVIOUS PERIOD (a)	NEW CASES RECEIVED (b)	CASES CARRIED OVER TO NEXT PERIOD (c)	DECLASSIFICATION DECISIONS (Report in pages)		
				GRANTED IN FULL (d)	GRANTED IN PART (e)	DENIED (f)
A. REQUESTS	0	0	0	0	0	0
B. APPEALS	0	0	0	0	0	0
8. PAGES DECLASSIFIED: AUTOMATIC DECLASSIFICATION AND SYSTEMATIC REVIEW FOR DECLASSIFICATION (Sections 3.4 and 3.5 of EO 12958)  0			9. INTERNAL AGENCY OVERSIGHT Number of Formal Inspections, Surveys, or Program Reviews  0			
10. EXPLANATORY COMMENTS (Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to						
The Securities and Exchange Commission has minimal involvement with classified						
information and is primarily a holder of classified material.						

DRAFT

**AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA**

(Submissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

1. Enter the Fiscal Year that this report covers. 2004	
2. Identify the Department, independent agency or establishment that is covered by this report. Securities and Exchange Commission	
3. Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as amended, Section 5.4(d)) responsible for this report. James M. McConnell, Executive Securities and Exchange Commission Washington, D.C. 20549	
4. Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this report. Darlene L. Pryor, Management Analyst (b)(6) (voice); 202-942-9588 (fax) (b)(6) @sec.gov	
5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5. 0
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6. 0
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7. 0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	
9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	
9. 0	
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	
10. 0	
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)	
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	
12. 0	
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	
13. 0	
14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	
15. 0	
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	
16. 0	
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	
18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	
19. Enter the number of derivative TOP SECRET classifications during the reporting period.	
19. 0	
20. Enter the number of derivative SECRET classifications during the reporting period.	
20. 0	
21. Enter the number of derivative CONFIDENTIAL classifications during the reporting period.	
21. 0	
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	

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The SEC is primarily a holder of classified information.

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

missions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

## PART A: Identifying Information

Enter the Fiscal Year that this report covers:  
Fiscal 2005

Identify the Department, Independent agency or Establishment that is covered by this report.

Securities and Exchange Commission

Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as amended, Section 5.4(d)) responsible for this report.

James M. McConnell, Executive Director

Securities and Exchange Commission

(202) 551-4300 (Voice)

100 F St., N.E., Wash., D.C. 20549

(202) 777-1025 (Fax)

Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this report.

Darlene Pryor, Management Analyst

Office of the Executive Director

Securities and Exchange Commission

(b)(6) (Voice)

100 F St., N.E., Wash., D.C. 20549

(202) 777-1025 (Fax)

## PART B: Officials with Original Classification Authority

Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.

5. 0

Enter the number of agency officials whose highest level of original classification authority is SECRET.

6. 0

Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.

7. 0

Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)

8. 0

## PART C: Original Classification Decisions

Initial classification is an initial determination that information requires protection in the interest of national security. It is based on the following criteria: (1) it was classified by an original classification authority; (2) the information is owned by, produced by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories found in Section 1.4 of EO 12958, as amended; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information only on classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.)

Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.

9. 0

Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.

10. 0

Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)

11. 0

Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.

12. 0

Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.

13. 0

Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)

14. 0

Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.

15. 0

Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.

16. 0

Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)

17. 0

Total number of original classification decisions. (Sum of blocks 11, 14, & 17)

18. 0

## PART D: Derivative Classification Decisions

Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information only on derivative classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.)

Enter the number of derivative TOP SECRET classifications during the reporting period.

19. 0

Enter the number of derivative SECRET classifications during the reporting period.

20. 0

Enter the number of derivative CONFIDENTIAL classifications during the reporting period.

21. 0

Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)

22. 0

Enter the Fiscal Year that this report covers.

Identify the Department, Independent agency or establishment that is covered by this report.

#### PART E: Mandatory Declassification Review Requests and Appeals

A request is an individual review request or appeal regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part I below where the number of requests or appeals carried forward between reporting periods changes.

23. Enter the number of requests carried over from the previous reporting period.	23. 0
24. Enter the number of new requests received during the reporting period.	24. 0
25. Enter the number of requests carried over to the next reporting period.	25. 0
26. Enter the number of appeals carried over from the previous reporting period.	26. 0
27. Enter the number of new appeals received during the reporting period.	27. 0
28. Enter the number of appeals carried over to the next reporting period.	28. 0

#### PART F: Mandatory Declassification Review Decisions in Pages

29. Enter the number of requested pages that were declassified in full.	29. 0
30. Enter the number of requested pages that were declassified in part.	30. 0
31. Enter the number of requested pages that were denied declassification.	31. 0
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32. 0
33. Enter the number of appealed pages that were declassified in full.	33. 0
34. Enter the number of appealed pages that were declassified in part.	34. 0
35. Enter the number of appealed pages that were denied declassification.	35. 0
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	36. 0

#### PART G: Automatic Declassification and Systematic Review

37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, EO 12958, as amended.	37. 0
38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38. 0

#### PART H: Internal Agency Oversight

39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.	39. 1
40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)	40. 0

#### PART I: Explanatory Comments

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.

The SEC has limited involvement with classified material. SEC is primarily a holder of classified information.



# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

## PART A: Identifying Information

1. Enter the Fiscal Year that this report covers.  
FY 2006
2. Identify the Department, Independent agency or Establishment that is covered by this report.  
Securities and Exchange Commission
3. Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as amended, Section 5.4(d)) responsible for this report.  
Diego T. Ruiz, Executive Director  
202-551-4300 (phone); 202-777-1025 (fax)  
ExecDir@sec.gov
4. Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this report.  
Darlene L. Pryor, Management Analyst  
(b)(6) (phone); 202-777-1025 (fax)  
(b)(6)@sec.gov

## PART B: Officials with Original Classification Authority

- |   |      |
|---|------|
| 5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.   | 5. 0 |
| 6. Enter the number of agency officials whose highest level of original classification authority is SECRET.       | 6. 0 |
| 7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL. | 7. 0 |
| 8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)                    | 8. 0 |

## PART C: Original Classification Decisions

Original classification is information that the information to be classified has not been previously classified by any other authority, and meets the following conditions: (1) it was classified by an original classification authority; (2) the information is exempt from automatic downgrading and declassification; (3) it falls into at least one of the categories found in Section 1.4 of EO 12958, as amended; and, (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. Do not count information previously classified by another authority, regardless of the media. Do not count reproductions of copies.

- |  |       |
|--|-------|
| 9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.                       | 9. 0  |
| 10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.   | 10. 0 |
| 11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)   | 11. 0 |
| 12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.                          | 12. 0 |
| 13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.       | 13. 0 |
| 14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)  | 14. 0 |
| 15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.                    | 15. 0 |
| 16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years. | 16. 0 |
| 17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)  | 17. 0 |
| 18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)  | 18. 0 |

## PART D: Derivative Classification Decisions

Derivative classification is the incorporating, paraphrasing, restating or generating in new form information that is already classified, or the marking of information as classified, on classification guides or other documents. (Provide information only on derivative classification decisions contained in the final product for dissemination or retention, regardless of the media. Do not count information previously classified by another authority, regardless of the media. Do not count reproductions of copies.)

- |  |       |
|--|-------|
| 19. Enter the number of derivative TOP SECRET classifications during the reporting period.   | 19. 0 |
| 20. Enter the number of derivative SECRET classifications during the reporting period.       | 20. 0 |
| 21. Enter the number of derivative CONFIDENTIAL classifications during the reporting period. | 21. 0 |
| 22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)        | 22. 0 |

Enter the Fiscal Year that this report covers.

**PY 2006**

Identify the Department, independent agency or establishment that is covered by this report.

**SEC**

**PART E: Mandatory Declassification Review Requests and Appeals**

A "request" is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part I below where the number of requests or appeals carried forward between reporting periods changes.

23. Enter the number of requests carried over from the previous reporting period.	23.	0
24. Enter the number of new requests received during the reporting period.	24.	0
25. Enter the number of requests carried over to the next reporting period.	25.	0
26. Enter the number of appeals carried over from the previous reporting period.	26.	0
27. Enter the number of new appeals received during the reporting period.	27.	0
28. Enter the number of appeals carried over to the next reporting period.	28.	0

**PART F: Mandatory Declassification Review Decisions in Pages**

29. Enter the number of requested pages that were declassified in full.	29.	0
30. Enter the number of requested pages that were declassified in part.	30.	0
31. Enter the number of requested pages that were denied declassification.	31.	0
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32.	0
33. Enter the number of appealed pages that were declassified in full.	33.	0
34. Enter the number of appealed pages that were declassified in part.	34.	0
35. Enter the number of appealed pages that were denied declassification.	35.	0
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	36.	0

**PART G: Automatic Declassification and Systematic Review**

37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, EO 12958, as amended.	37.	0
38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38.	0

**PART H: Internal Agency Oversight**

39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.	39.	0
40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.6)	40.	0

**PART I: Explanatory Comments**

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.

SEC is primarily a holder of classified material.



# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

## PART A: Identifying Information

1. Enter the Fiscal Year that this report covers. FY 2007
2. Identify the Department, Independent agency or Establishment that is covered by this report. United States Securities and Exchange Commission
3. Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as amended, Section 5.4(d)) responsible for this report. Diego T. Ruiz, Executive Director (b)(6) (office); 202-777-1025 (fax) ExecDir@sec.gov
4. Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this report. Darlene L. Pryor, Management Analyst (b)(6) (office); 202-777-1025 (fax) (b)(6) @sec.gov

## PART B: Officials with Original Classification Authority

5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.	0
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6.	0
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7.	0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8.	0

## PART C: Original Classification Decisions

Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by, produced by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories found in Section 1.4 of EO 12958, as amended; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. [Provide information only on classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.]

9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9.	0
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10.	0
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)	11.	0
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.	0
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.	0
14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	14.	0
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15.	0
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16.	0
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17.	0
18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18.	0

## PART D: Derivative Classification Decisions

Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. [Provide information only on derivative classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.]

19. Enter the number of derivative TOP SECRET classifications during the reporting period.	19.	0
20. Enter the number of derivative SECRET classifications during the reporting period.	20.	0
21. Enter the number of derivative CONFIDENTIAL classifications during the reporting period.	21.	0
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22.	0

Enter the Fiscal Year that this report covers.

FY 2007

Identify the Department, Independent agency or establishment that is covered by this report.

United States Securities and Exchange Commission

### PART E: Mandatory Declassification Review Requests and Appeals

A "request" is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part I below where the number of requests or appeals carried forward between reporting periods changes.

23. Enter the number of requests carried over from the previous reporting period.

23.

0

24. Enter the number of new requests received during the reporting period.

24.

0

25. Enter the number of requests carried over to the next reporting period.

25.

0

26. Enter the number of appeals carried over from the previous reporting period.

26.

0

27. Enter the number of new appeals received during the reporting period.

27.

0

28. Enter the number of appeals carried over to the next reporting period.

28.

0

### PART F: Mandatory Declassification Review Decisions in Pages

29. Enter the number of requested pages that were declassified in full.

29.

0

30. Enter the number of requested pages that were declassified in part.

30.

0

31. Enter the number of requested pages that were denied declassification.

31.

0

32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)

32.

0

33. Enter the number of appealed pages that were declassified in full.

33.

0

34. Enter the number of appealed pages that were declassified in part.

34.

0

35. Enter the number of appealed pages that were denied declassification.

35.

0

36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)

36.

0

### PART G: Automatic Declassification and Systematic Review

37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, EO 12958, as amended.

37.

0

38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.

38.

0

### PART H: Internal Agency Oversight

39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.

39.

0

40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)

40.

0

### PART I: Explanatory Comments

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.

The Securities and Exchange Commission is primarily a holder of classified information.



# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

## PART A: Identifying Information

1. Enter the Fiscal Year that this report covers. FY 2008	
2. Identify the Department, Independent agency, or Establishment that is covered by this report. [REDACTED]	
3. Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as amended, Section 5.4(d)) responsible for this report. Diego T. Ruiz, Executive Director (b)(6) (office); 202-777-1025 (fax) ExecDir@sec.gov	SEC
4. Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this report. Carl Schilling, Program Manager (b)(6) (office); 202-777-1025 (fax) (b)(6) @sec.gov	

## PART B: Officials with Original Classification Authority

5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.	0
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6.	0
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7.	0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8.	0

## PART C: Original Classification Decisions

9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9.	0
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10.	0
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)	11.	0
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.	0
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.	0
14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	14.	0
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15.	0
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16.	0
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17.	0
18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18.	0

## PART D: Derivative Classification Decisions

19. Enter the number of derivative TOP SECRET classifications during the reporting period.	19.	0
20. Enter the number of derivative SECRET classifications during the reporting period.	20.	0
21. Enter the number of derivative CONFIDENTIAL classifications during the reporting period.	21.	0
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22.	0

Enter the Fiscal Year that this report covers.

FY 2008

Identify the Department, independent agency or establishment that is covered by this report.

SEC

**PART E: Mandatory Declassification Review Requests and Appeals**

A "request" is an individual review request or appeal, regardless of the number of documents or pages to be reviewed, as part of the request. Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part I below where the number of requests or appeals carried forward between reporting periods changes.

23. Enter the number of requests carried over from the previous reporting period.	23.	0
24. Enter the number of new requests received during the reporting period.	24.	0
25. Enter the number of requests carried over to the next reporting period.	25.	0
26. Enter the number of appeals carried over from the previous reporting period.	26.	0
27. Enter the number of new appeals received during the reporting period.	27.	0
28. Enter the number of appeals carried over to the next reporting period.	28.	0

**PART F: Mandatory Declassification Review Decisions in Pages**

29. Enter the number of requested pages that were declassified in full.	29.	0
30. Enter the number of requested pages that were declassified in part.	30.	0
31. Enter the number of requested pages that were denied declassification.	31.	0
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32.	0
33. Enter the number of appealed pages that were declassified in full.	33.	0
34. Enter the number of appealed pages that were declassified in part.	34.	0
35. Enter the number of appealed pages that were denied declassification.	35.	0
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	36.	0

**PART G: Automatic Declassification and Systematic Review**

37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, EO 12958, as amended.	37.	0
38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38.	0

**PART H: Internal Agency Oversight**

39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.	39.	0
40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)	40.	0

**PART I: Explanatory Comments**

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.

SEC is primarily a holder of classified material.

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

## PART A: Identifying Information

1. Enter the Fiscal Year that this report covers. 2009
2. Identify the Department, independent agency or Establishment that is covered by this report. U. S. Securities and Exchange Commission
3. Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as amended, Section 5.4(d)) responsible for this report. Diego T. Ruiz, Executive Director (b)(6) (office); 202-777-1025 (fax) ExecDir@sec.gov
4. Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this report. Carl Schilling, Program Manager (b)(6) (office); 202-777-1025 (fax) (b)(6)@sec.gov

## PART B: Officials with Original Classification Authority

5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5. 0
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6. 0
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7. 0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8. 0

## PART C: Original Classification Decisions

Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by, produced by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories found in Section 1.4 of EO 12958, as amended; and, (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. [Provide information only on classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.]

9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9. 0
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10. 0
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)	11. 0
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12. 0
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13. 0
14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	14. 0
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15. 0
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16. 0
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17. 0
18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18. 0

## PART D: Derivative Classification Decisions

Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. [Provide information only on derivative classification decisions contained in finished products for dissemination or retention, regardless of the media. Do not count reproductions or copies.]

19. Enter the number of derivative TOP SECRET classifications during the reporting period.	19. 0
20. Enter the number of derivative SECRET classifications during the reporting period.	20. 0
21. Enter the number of derivative CONFIDENTIAL classifications during the reporting period.	21. 0
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22. 0



Enter the Fiscal Year that this report covers.

2008

Identify the Department, independent agency or establishment that is covered by this report.

U. S. Securities and Exchange Commission

### PART E: Mandatory Declassification Review Requests and Appeals

A "request" is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part I below where the number of requests or appeals carried forward between reporting periods changes.

23. Enter the number of requests carried over from the previous reporting period.	23.	0
24. Enter the number of new requests received during the reporting period.	24.	0
25. Enter the number of requests carried over to the next reporting period.	25.	0
26. Enter the number of appeals carried over from the previous reporting period.	26.	0
27. Enter the number of new appeals received during the reporting period.	27.	0
28. Enter the number of appeals carried over to the next reporting period.	28.	0

### PART F: Mandatory Declassification Review Decisions in Pages

29. Enter the number of requested pages that were declassified in full.	29.	0
30. Enter the number of requested pages that were declassified in part.	30.	0
31. Enter the number of requested pages that were denied declassification.	31.	0
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32.	0
33. Enter the number of appealed pages that were declassified in full.	33.	0
34. Enter the number of appealed pages that were declassified in part.	34.	0
35. Enter the number of appealed pages that were denied declassification.	35.	0
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	36.	0

### PART G: Automatic Declassification and Systematic Review

37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, EO 12958, as amended.	37.	0
38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38.	0

### PART H: Internal Agency Oversight

39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.	39.	0
40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.6)	40.	0

### PART I: Explanatory Comments

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.

SEC is primarily a holder of classified material.





UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
WASHINGTON, D.C. 20549

OFFICE OF THE  
EXECUTIVE DIRECTOR

November 15, 2010

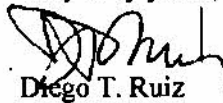
Mr. William J. Bosanko  
Director  
Information Security Oversight Office  
National Archives and Records Administration  
700 Pennsylvania Avenue, N.W.  
Washington, D.C. 20408

Dear Mr. Bosanko:

As you have requested pursuant to Executive Order 13526, "Classified National Security Information," and its implementing directive, 32 C.F.R. Part 2001, enclosed you will find the United States Securities and Exchange Commission's ("*Commission*") fiscal year 2010 statistical report of security classification management data. The scope of the Commission's involvement with classified material is limited primarily to that of a holder of classified information.

Questions concerning this report should be directed to Carl J. Schilling, who is reachable as follows: U. S. Securities and Exchange Commission, 100 F Street, NE, Washington, D.C. 20549 (phone: (b)(6); email: (b)(6)@sec.gov).

Very truly yours,

  
Diego T. Ruiz  
Executive Director

Enclosure

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

1. Enter the FISCAL YEAR this report covers.	2010
2. Enter the DEPARTMENT or AGENCY covered by this report.	U. S. Securities and Exchange Commission (SEC)
3. Enter the name, title, address, phone, fax, and e-mail address of the SENIOR AGENCY OFFICIAL (as defined in E.O. 13526, section 5.4(d)).	Diego T. Ruiz Executive Director 100 E Street, NE
4. Enter the name, title, phone, fax, and e-mail address for the POINT OF CONTACT responsible for answering questions about this report.	Carl Schilling Program Manager (b)(6)

5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	0
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	0
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, and 7)	0

12. Do you have any other information that you want to provide to the Commission? (If you have information that you want to provide to the Commission, please provide it in this section.) (4 of EO 12958-2, 12958-3, 12958-4, 12958-5, 12958-6, 12958-7, 12958-8, 12958-9, 12958-10, 12958-11, 12958-12, 12958-13, 12958-14, 12958-15, 12958-16, 12958-17, 12958-18, 12958-19, 12958-20, 12958-21, 12958-22, 12958-23, 12958-24, 12958-25, 12958-26, 12958-27, 12958-28, 12958-29, 12958-30, 12958-31, 12958-32, 12958-33, 12958-34, 12958-35, 12958-36, 12958-37, 12958-38, 12958-39, 12958-40, 12958-41, 12958-42, 12958-43, 12958-44, 12958-45, 12958-46, 12958-47, 12958-48, 12958-49, 12958-50, 12958-51, 12958-52, 12958-53, 12958-54, 12958-55, 12958-56, 12958-57, 12958-58, 12958-59, 12958-60, 12958-61, 12958-62, 12958-63, 12958-64, 12958-65, 12958-66, 12958-67, 12958-68, 12958-69, 12958-70, 12958-71, 12958-72, 12958-73, 12958-74, 12958-75, 12958-76, 12958-77, 12958-78, 12958-79, 12958-80, 12958-81, 12958-82, 12958-83, 12958-84, 12958-85, 12958-86, 12958-87, 12958-88, 12958-89, 12958-90, 12958-91, 12958-92, 12958-93, 12958-94, 12958-95, 12958-96, 12958-97, 12958-98, 12958-99, 12958-100, 12958-101, 12958-102, 12958-103, 12958-104, 12958-105, 12958-106, 12958-107, 12958-108, 12958-109, 12958-110, 12958-111, 12958-112, 12958-113, 12958-114, 12958-115, 12958-116, 12958-117, 12958-118, 12958-119, 12958-120, 12958-121, 12958-122, 12958-123, 12958-124, 12958-125, 12958-126, 12958-127, 12958-128, 12958-129, 12958-130, 12958-131, 12958-132, 12958-133, 12958-134, 12958-135, 12958-136, 12958-137, 12958-138, 12958-139, 12958-140, 12958-141, 12958-142, 12958-143, 12958-144, 12958-145, 12958-146, 12958-147, 12958-148, 12958-149, 12958-150, 12958-151, 12958-152, 12958-153, 12958-154, 12958-155, 12958-156, 12958-157, 12958-158, 12958-159, 12958-160, 12958-161, 12958-162, 12958-163, 12958-164, 12958-165, 12958-166, 12958-167, 12958-168, 12958-169, 12958-170, 12958-171, 12958-172, 12958-173, 12958-174, 12958-175, 12958-176, 12958-177, 12958-178, 12958-179, 12958-180, 12958-181, 12958-182, 12958-183, 12958-184, 12958-185, 12958-186, 12958-187, 12958-188, 12958-189, 12958-190, 12958-191, 12958-192, 12958-193, 12958-194, 12958-195, 12958-196, 12958-197, 12958-198, 12958-199, 12958-200, 12958-201, 12958-202, 12958-203, 12958-204, 12958-205, 12958-206, 12958-207, 12958-208, 12958-209, 12958-210, 12958-211, 12958-212, 12958-213, 12958-214, 12958-215, 12958-216, 12958-217, 12958-218, 12958-219, 12958-220, 12958-221, 12958-222, 12958-223, 12958-224, 12958-225, 12958-226, 12958-227, 12958-228, 12958-229, 12958-230, 12958-231, 12958-232, 12958-233, 12958-234, 12958-235, 12958-236, 12958-237, 12958-238, 12958-239, 12958-240, 12958-241, 12958-242, 12958-243, 12958-244, 12958-245, 12958-246, 12958-247, 12958-248, 12958-249, 12958-250, 12958-251, 12958-252, 12958-253, 12958-254, 12958-255, 12958-256, 12958-257, 12958-258, 12958-259, 12958-260, 12958-261, 12958-262, 12958-263, 12958-264, 12958-265, 12958-266, 12958-267, 12958-268, 12958-269, 12958-270, 12958-271, 12958-272, 12958-273, 12958-274, 12958-275, 12958-276, 12958-277, 12958-278, 12958-279, 12958-280, 12958-281, 12958-282, 12958-283, 12958-284, 12958-285, 12958-286, 12958-287, 12958-288, 12958-289, 12958-290, 12958-291, 12958-292, 12958-293, 12958-294, 12958-295, 12958-296, 12958-297, 12958-298, 12958-299, 12958-300, 12958-301, 12958-302, 12958-303, 12958-304, 12958-305, 12958-306, 12958-307, 12958-308, 12958-309, 12958-310, 12958-311, 12958-312, 12958-313, 12958-314, 12958-315, 12958-316, 12958-317, 12958-318, 12958-319, 12958-320, 12958-321, 12958-322, 12958-323, 12958-324, 12958-325, 12958-326, 12958-327, 12958-328, 12958-329, 12958-330, 12958-331, 12958-332, 12958-333, 12958-334, 12958-335, 12958-336, 12958-337, 12958-338, 12958-339, 12958-340, 12958-341, 12958-342, 12958-343, 12958-344, 12958-345, 12958-346, 12958-347, 12958-348, 12958-349, 12958-350, 12958-351, 12958-352, 12958-353, 12958-354, 12958-355, 12958-356, 12958-357, 12958-358, 12958-359, 12958-360, 12958-361, 12958-362, 12958-363, 12958-364, 12958-365, 12958-366, 12958-367, 12958-368, 12958-369, 12958-370, 12958-371, 12958-372, 12958-373, 12958-374, 12958-375, 12958-376, 12958-377, 12958-378, 12958-379

- |  |   |
|--|---|
| 9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of <b>10 years or less</b> .                       | 0 |
| 10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions <b>ranging from over 10 years to 25 years</b> .   | 0 |
| 11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 and 10)   | 0 |
| 12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of <b>10 years or less</b> .                          | 0 |
| 13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions <b>ranging from over 10 years to 25 years</b> .       | 0 |
| 14. Total number of SECRET original classification decisions. (Sum of blocks 12 and 13)  | 0 |
| 15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of <b>10 years or less</b> .                    | 0 |
| 16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions <b>ranging from over 10 years to 25 years</b> . | 0 |
| 17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 and 16)  | 0 |
| 18. Total number of original classification decisions. (Sum of blocks 11, 14, and 17)  | 0 |

Derivative Classification is the process of identifying and marking information that is already classified, that has been determined to require classification, and that is contained in a document, material, or information system. The purpose of derivative classification is to ensure that information is properly classified and that the classification is consistent with the classification of the information from which it was derived. Derivative classification does not include the classification of information that is not already classified, nor does it include the classification of information that is not determined to require classification.

- |   |   |
|---|---|
| 19. Enter the number of derivative TOP SECRET classification decisions during the reporting period.   | 0 |
| 20. Enter the number of derivative SECRET classification decisions during the reporting period.       | 0 |
| 21. Enter the number of derivative CONFIDENTIAL classification decisions during the reporting period. | 0 |
| 22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)               | 0 |

Fiscal Year **2010**Department or Agency **SEC****PART E: MANDATORY DECLASSIFICATION REVIEW REQUESTS AND APPEALS**

A request for an initial review, request for appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for which your agency is responsible for the final decision. Please provide an explanation in Part J below where the number of requests or appeals carried forward between reporting periods changes.

23. Enter the number of requests carried over from the previous reporting period. (Block 25 on last year's report)

0

24. Enter the number of new requests received during the reporting period.

0

25. Enter the number of requests carried over to the next reporting period.

0

26. Enter the number of appeals carried over from the previous reporting period. (Block 28 on last year's report)

0

27. Enter the number of new appeals received during the reporting period.

0

28. Enter the number of appeals carried over to the next reporting period.

0

**PART F: MANDATORY DECLASSIFICATION REVIEW DECISIONS IN PAGES**

29. Enter the number of requested pages that were declassified in full.

0

30. Enter the number of requested pages that were declassified in part.

0

31. Enter the number of requested pages that were denied declassification.

0

32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)

0

33. Enter the number of appealed pages that were declassified in full.

0

34. Enter the number of appealed pages that were declassified in part.

0

35. Enter the number of appealed pages that were denied declassification.

0

36. Total number of appealed pages acted on. (Sum of blocks 33, 34, and 35)

0

**PART G: AUTOMATIC, SYSTEMATIC, AND DISCRETIONARY DECLASSIFICATION REVIEWS**

37. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.

0

38. Enter the number of pages declassified under section 3.3 of E.O. 13526.

0

39. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.

0

40. Enter the number of pages declassified under section 3.4 of E.O. 13526.

0

41. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.

0

42. Enter the number of pages declassified under section 3.1 of E.O. 13526.

0

**PART H: INTERNAL AGENCY OVERSIGHT**

43. Enter the number of inspections, surveys, or program reviews conducted by your agency, covering any aspect of the security classification program, completed during the reporting period.

1

44. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)

0

45. Enter the number of challenges where the classification status was fully affirmed.

0

46. Enter the number of challenges where the classification status was overturned in whole or in part.

0

**PART I: CLASSIFICATION GUIDES**

47. Enter the number of security classification guides created by your agency and currently in use.

0

Fiscal Year

Department or Agency

**PART I - EXPLANATORY COMMENTS**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report. Additionally, select the sampling process your agency used in developing this year's report.*

<b>Sampling Period:</b> 2-Week <input type="checkbox"/> 4-Week <input type="checkbox"/> 8-Week <input type="checkbox"/> One Year <input type="checkbox"/> <b>Multiplier Applied:</b> None <input type="checkbox"/> Other (Specify) <input type="text"/>	
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# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

## PART A: IDENTIFYING INFORMATION

1. Enter the FISCAL YEAR this report covers.

2011

2. Enter the DEPARTMENT or AGENCY covered by this report.

US Securities and Exchange Commission

3. Enter the name, title, address, phone, fax, and e-mail address of the SENIOR AGENCY OFFICIAL (as defined in E.O. 13526, section 5.4(d)).

William J Fagan, Chief of Security  
100 F ST NE, Washington, DC 20549

(b)(6) (b)(6) @sec.gov

4. Enter the name, title, phone, fax, and e-mail address for the POINT OF CONTACT responsible for answering questions about this report.

Laura Bennett, Security Specialist

(b)(6) (b)(6) @sec.gov

## PART B: OFFICIALS WITH ORIGINAL CLASSIFICATION AUTHORITY

5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.

6. Enter the number of agency officials whose highest level of original classification authority is SECRET.

7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.

8. Total number of officials with original classification authority. (Sum of blocks 5, 6, and 7)

0

## PART C: ORIGINAL CLASSIFICATION DECISIONS

Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories found in section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via e-mail. Do not count reproductions or copies.)

9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.

10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.

11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 and 10)

12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.

13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.

14. Total number of SECRET original classification decisions. (Sum of blocks 12 and 13)

15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.

16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.

17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 and 16)

18. Total number of original classification decisions. (Sum of blocks 11, 14, and 17)

0

## PART D: DERIVATIVE CLASSIFICATION DECISIONS

Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via e-mail. Do not count reproductions or copies.)

19. Enter the number of derivative TOP SECRET classification decisions during the reporting period.

20. Enter the number of derivative SECRET classification decisions during the reporting period.

21. Enter the number of derivative CONFIDENTIAL classification decisions during the reporting period.

22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)

0

Fiscal Year 2011

Department or Agency

US Securities and Exchange

**PART E: MANDATORY DECLASSIFICATION REVIEW REQUESTS AND APPEALS**

A "request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part J below where the number of requests or appeals carried forward between reporting period changes.

23. Enter the number of requests carried over from the previous reporting period. (Block 25 on last year's report)

0

24. Enter the number of new requests received during the reporting period.

0

25. Enter the number of requests carried over to the next reporting period.

0

26. Enter the number of appeals carried over from the previous reporting period. (Block 28 on last year's report)

0

27. Enter the number of new appeals received during the reporting period.

0

28. Enter the number of appeals carried over to the next reporting period.

0

**PART F: MANDATORY DECLASSIFICATION REVIEW DECISIONS IN PAGES**

29. Enter the number of requested pages that were declassified in full.

30. Enter the number of requested pages that were declassified in part.

31. Enter the number of requested pages that were denied declassification.

32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)

0

33. Enter the number of appealed pages that were declassified in full.

34. Enter the number of appealed pages that were declassified in part.

35. Enter the number of appealed pages that were denied declassification.

36. Total number of appealed pages acted on. (Sum of blocks 33, 34, and 35)

0

**PART G: AUTOMATIC, SYSTEMATIC, AND DISCRETIONARY DECLASSIFICATION REVIEWS**

37. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.

38. Enter the number of pages declassified under section 3.3 of E.O. 13526.

39. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.

40. Enter the number of pages declassified under section 3.4 of E.O. 13526.

41. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.

42. Enter the number of pages declassified under section 3.1 of E.O. 13526.

0

**PART H: INTERNAL AGENCY OVERSIGHT**

43. Enter the number of inspections, surveys, or program reviews conducted by your agency, covering any aspect of the security classification program, completed during the reporting period.

0

44. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)

0

45. Enter the number of challenges where the classification status was fully affirmed.

0

46. Enter the number of challenges where the classification status was overturned in whole or in part.

0

**PART I: CLASSIFICATION GUIDES**

47. Enter the number of security classification guides created by your agency and currently in use.

0

Fiscal Year

Department or Agency

**PART J: EXPLANATORY COMMENTS**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report. Additionally, select the sampling process your agency used in developing this year's report.*

**Sampling Period:**

2-Week ☐

4-Week ☐

8-Week ☐

One Year ☐

**Multiplier Applied:**

None ☐

Other (Specify)

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

## PART A: IDENTIFYING INFORMATION

1. Enter the FISCAL YEAR this report covers.	2012
2. Enter the DEPARTMENT or AGENCY covered by this report.	US Securities and Exchange Commission
3. Enter the name, title, address, phone, fax, and e-mail address of the SENIOR AGENCY OFFICIAL (as defined in E.O. 13526, section 5.4(d)).	William J Fagan, Chief of Security 100 F ST NE, Washington, DC 20549 (b)(6) (b)(6) @sec.gov
4. Enter the name, title, phone, fax, and e-mail address for the POINT OF CONTACT responsible for answering questions about this report.	Laura Bennett, Security Specialist (b)(6) (b)(6) @sec.gov

## PART B: OFFICIALS WITH ORIGINAL CLASSIFICATION AUTHORITY

5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, and 7)	0

## PART C: ORIGINAL CLASSIFICATION DECISIONS

Original classification decisions are initial determinations that information is so classified because its unauthorized disclosure could result in identifiable damage to the national defense, foreign relations, or the economy. Original classification decisions are made by the originating agency or by a designated authority. Original classification decisions are made in accordance with the provisions of E.O. 13526, section 1.4. Original classification decisions are made in accordance with the provisions of E.O. 13526, section 1.4. Original classification decisions are made in accordance with the provisions of E.O. 13526, section 1.4.

9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 and 10)	
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	
14. Total number of SECRET original classification decisions. (Sum of blocks 12 and 13)	
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 and 16)	
18. Total number of original classification decisions. (Sum of blocks 11, 14, and 17)	0

## PART D: DERIVATIVE CLASSIFICATION DECISIONS

Derivative classification is the process of identifying, marking, and controlling information that is already classified, and is not independently created or discovered by the reporting agency. Derivative classification decisions are made by the reporting agency or by a designated authority. Derivative classification decisions are made in accordance with the provisions of E.O. 13526, section 1.4. Derivative classification decisions are made in accordance with the provisions of E.O. 13526, section 1.4. Derivative classification decisions are made in accordance with the provisions of E.O. 13526, section 1.4.

19. Enter the number of derivative TOP SECRET classification decisions during the reporting period.	
20. Enter the number of derivative SECRET classification decisions during the reporting period.	
21. Enter the number of derivative CONFIDENTIAL classification decisions during the reporting period.	
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	0



Fiscal Year **2012**

Department or Agency

**US Securities and Exchange****PART E: MANDATORY DECLASSIFICATION REVIEW REQUESTS AND APPEALS**

Report this information annually regardless of the number of documents or pages to be reviewed as part of the review. Report only requests for review that you are responsible for the final decision. Please provide an explanation in Part F below where the number of requests or appeals carried forward between reporting periods change.

23. Enter the number of requests carried over from the previous reporting period. (Block 25 on last year's report)

0

24. Enter the number of new requests received during the reporting period.

0

25. Enter the number of requests carried over to the next reporting period.

0

26. Enter the number of appeals carried over from the previous reporting period. (Block 28 on last year's report)

0

27. Enter the number of new appeals received during the reporting period.

0

28. Enter the number of appeals carried over to the next reporting period.

0

**PART F: MANDATORY DECLASSIFICATION REVIEW DECISIONS IN PAGES**

29. Enter the number of requested pages that were declassified in full.

0

30. Enter the number of requested pages that were declassified in part.

0

31. Enter the number of requested pages that were denied declassification.

0

32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)

0

33. Enter the number of appealed pages that were declassified in full.

0

34. Enter the number of appealed pages that were declassified in part.

0

35. Enter the number of appealed pages that were denied declassification.

0

36. Total number of appealed pages acted on. (Sum of blocks 33, 34, and 35)

0

**PART G: AUTOMATIC, SYSTEMATIC AND DISCRETIONARY DECLASSIFICATION REVIEWS**

37. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.

0

38. Enter the number of pages declassified under section 3.3 of E.O. 13526.

0

39. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.

0

40. Enter the number of pages declassified under section 3.4 of E.O. 13526.

0

41. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.

0

42. Enter the number of pages declassified under section 3.1 of E.O. 13526.

0

**PART H: INTERNAL AGENCY OVERSIGHT**

43. Enter the number of inspections, surveys, or program reviews conducted by your agency, covering any aspect of the security classification program, completed during the reporting period.

2

44. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)

0

45. Enter the number of challenges where the classification status was fully affirmed.

0

46. Enter the number of challenges where the classification status was overturned in whole or in part.

0

**PART I: CLASSIFICATION GUIDES**

47. Enter the number of security classification guides created by your agency and currently in use.

1

Fiscal Year **2012**

Department or Agency

**US Securities and Exchange**

**EXPLANATORY COMMENTS**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report. Additionally, select the sampling process your agency used in developing this year's report.*

**Sampling Period:**

2-Week \_\_\_\_\_

4-Week \_\_\_\_\_

8-Week \_\_\_\_\_

One Year \_\_\_\_\_

**Multiplier Applied:**

None \_\_\_\_\_

Other (Specify) \_\_\_\_\_

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying Information		
1. Enter the Fiscal Year that this report covers.	1. 2013	
2. Identify the Department, Independent agency, or Establishment that is covered by this report.	2. Securities and Exchange Commission	
3. Enter the name, title, address, phone, fax, and e-mail address of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Barry Walker, Director of OSO/Chief FOIA Officer 100 F Street NE, Washington, DC 20549 (202) 696-1657 barry.walker@sec.gov	
4. Enter the name, title, phone, fax, and email address for the point-of-contact responsible for answering questions about this report.	4. Caleb Davidson, Chief of Security Services (202) 696-1657 caleb.davidson@sec.gov	
PART B: Officials with Original Classification Authority		
5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.	NA
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6.	NA
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7.	NA
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8.	0
PART C: Original Classification Decisions		
Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories from section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all original classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9.	0
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10.	0
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10).	11.	0
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.	0
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.	0
14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	14.	0
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15.	0
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16.	0
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17.	0
18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18.	0
PART D: Derivative Classification Decisions		
Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
19. Enter the number of derivative TOP SECRET classification decisions made during the reporting period.	19.	0
20. Enter the number of derivative SECRET classification decisions made during the reporting period.	20.	0
21. Enter the number of derivative CONFIDENTIAL classification decisions made during the reporting period.	21.	0
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22.	0

**PART I: Explanatory Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.*

Part H, #51: The SEC uses DoD 5200.1-PH for classification guidance, [http://www.dtic.mil/dtic/pdf/customer/STINFOdata/DoD5200\\_1ph.pdf](http://www.dtic.mil/dtic/pdf/customer/STINFOdata/DoD5200_1ph.pdf)

***For ISOO Use Only***

ISOO Analyst Name:

A.S. Luke

Date of QC:

12/16/2013

Analyst Initials:

AL





OFFICE OF  
SUPPORT OPERATIONS

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
WASHINGTON, D.C. 20549

November 17, 2014

MEMORANDUM FOR: John P. Fitzpatrick  
Director, Information Security Oversight Office  
National Archives and Records Administration

FROM: Barry D. Walters *Barry D Walters*  
Director  
Office of Support Operations

SUBJECT: Annual Agency Security Classification Management Program Data

This memorandum accompanies the United States Securities and Exchange Commission's (SEC's) Agency Security Classification Management Program Data submission. This memorandum and the accompanying attachment constitute my submission as the Senior Agency Official's (SAO's) annual report to the Director of the Information Security Oversight Office (ISOO) on behalf of the SEC as required under E.O. 13526, "Classified National Security Information" (CNSI) and its implementing directive 32 CFR Part 2001.

I endorse the enclosure reporting the agency's statistics regarding security classification. The SEC does not have any deviations to report from previous submissions.

I welcome any comments or questions ISOO may have. The point of contact for this memorandum is Cedric Watson, Branch Chief, Physical Security Operations at

(b)(6)@sec.gov or at (b)(6)

Attachment: Agency Security Classification Management Program Data (SF 311)

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

STANDARD FORM 311 (REV 2-13)  
Prescribed by NARA/ISOO  
32 CFR 2001, E.O. 13526

**PART E: Mandatory Declassification Review Requests and Appeals**

A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request.

**Report only requests for your agency in which your agency is responsible for the final decision.**

23. Enter the number of requests received during the reporting period.	23.	0
24. Enter the number of requests closed during the reporting period.	24.	0
25. Enter the number of requests that have been unresolved for over one year.	25.	0
26. Enter the average number of days to resolve each request.	26.	0
27. Enter the number of appeals received during the reporting period.	27.	0
28. Enter the number of appeals closed during the reporting period.	28.	0
29. Enter the number of appeals that have been unresolved for over one year.	29.	0
30. Enter the average number of days to resolve each appeal.	30.	0

31. Enter the number of referred requests received during the reporting period.	31.	0
32. Enter the number of referred appeals received during the reporting period.	32.	0

**PART F: Mandatory Declassification Review Decisions in Pages**

33. Enter the number of requested pages that were declassified in full.	33.	0
34. Enter the number of requested pages that were declassified in part.	34.	0
35. Enter the number of requested pages that were denied declassification.	35.	0
36. Total number of requested pages acted on. (Sum of blocks 33, 34, & 35)	36.	0
37. Enter the number of appealed pages that were declassified in full.	37.	0
38. Enter the number of appealed pages that were declassified in part.	38.	0
39. Enter the number of appealed pages that were denied declassification.	39.	0
40. Total number of appealed pages acted on. (Sum of blocks 37, 38, & 39)	40.	0

**PART G: Automatic, Systematic, and Discretionary Declassification Reviews**

41. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	41.	0
42. Enter the number of pages declassified under automatic declassification.	42.	0
43. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	43.	0
44. Enter the number of pages declassified under systematic declassification.	44.	0
45. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	45.	0
46. Enter the number of pages declassified under discretionary declassification.	46.	0

**PART H: Internal Agency Oversight**

47. Enter the number of self-inspections conducted by your agency, covering any aspect of the security classification program, during the reporting period.	47.	1
48. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	48.	0
49. Enter the number of challenges where the classification status was fully affirmed.	49.	0
50. Enter the number of challenges where the classification status was overturned in whole or in part.	50.	0
51. Enter the number of security classification guides created by your agency and currently in use.	51.	0

**PART I: Explanatory Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.*

U.S. Securities and Exchange Commission does not have Original Classification Authority.

**For ISOO Use Only**

ISOO Analyst Name: Joseph R. Taylor, Jr.

Date of QC: 24 Nov 2014

Analyst Initials: JRT



# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying Information	
1. Enter the Fiscal Year that this report covers.	1. 2015
2. Identify the Department, Independent agency, or Establishment that is covered by this report.	2. United States Securities and Exchange Commission
3. Enter the name and title of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Barry Walters, Director, Office of Support Operations
4. Enter the name, title, phone, and email address for the point-of-contact responsible for answering questions about this report.	4. LeRoy A. Woodall, Special Security Officer, (b)(6)
PART B: Officials with Original Classification Authority	
5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5. 0
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6. 0
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7. 0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8. 0
PART C: Original Classification Decisions	
Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories from section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all original classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)	
9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9. 0
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10. 0
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10).	11. 0
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12. 0
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13. 0
14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	14. 0
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15. 0
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16. 0
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17. 0
18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18. 0
PART D: Derivative Classification Decisions	
Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)	
19. Enter the number of derivative TOP SECRET classification decisions made during the reporting period.	19. 0
20. Enter the number of derivative SECRET classification decisions made during the reporting period.	20. 0
21. Enter the number of derivative CONFIDENTIAL classification decisions made during the reporting period.	21. 0
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22. 0

**PART E: Mandatory Declassification Review Requests and Appeals**

A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request.

**Report only requests for your agency in which your agency is responsible for the final decision.**

23. Enter the number of requests received during the reporting period.	23.0
24. Enter the number of requests closed during the reporting period.	24.0
25. Enter the number of requests that have been unresolved for over one year.	25.0
26. Enter the average number of days to resolve each request.	26.0
27. Enter the number of appeals received during the reporting period.	27.0
28. Enter the number of appeals closed during the reporting period.	28.0
29. Enter the number of appeals that have been unresolved for over one year.	29.0
30. Enter the average number of days to resolve each appeal.	30.0
<b>PART F: Mandatory Declassification Review Decisions in Pages</b>	
33. Enter the number of requested pages that were declassified in full.	33.0
34. Enter the number of requested pages that were declassified in part.	34.0
35. Enter the number of requested pages that were denied declassification.	35.0
36. Total number of requested pages acted on. (Sum of blocks 33, 34, & 35)	36.0
37. Enter the number of appealed pages that were declassified in full.	37.0
38. Enter the number of appealed pages that were declassified in part.	38.0
39. Enter the number of appealed pages that were denied declassification.	39.0
40. Total number of appealed pages acted on. (Sum of blocks 37, 38, & 39)	40.0
<b>PART G: Automatic, Systematic, and Discretionary Declassification Reviews</b>	
41. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	41.0
42. Enter the number of pages declassified under automatic declassification.	42.0
43. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	43.0
44. Enter the number of pages declassified under systematic declassification.	44.0
45. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	45.0
46. Enter the number of pages declassified under discretionary declassification.	46.0
<b>PART H: Internal Agency Oversight</b>	
47. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	47.0
48. Enter the number of challenges where the classification status was fully affirmed.	48.0
49. Enter the number of challenges where the classification status was overturned in whole or in part.	49.0

**PART I: Explanatory Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.*

U.S. Securities and Exchange Commission does not have Original Classification Authority.

***For ISOO Use Only***

ISOO Analyst Name: \_\_\_\_\_

Date of QC: \_\_\_\_\_

Analyst Initials: \_\_\_\_\_

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying Information		
1. Enter the Fiscal Year that this report covers.		1. 2016
2. Identify the Department, Independent agency, or Establishment that is covered by this report.		2. SEC: Securities and Exchange Commission
3. Enter the name and title of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.		3. Barry Walters, Director of OSO/Chief FOIA Officer
4. Point-of-contact responsible for answering questions about this report:		
4a. Name:	4a. LeRoy Woodall	
4b. Title:	4b. Special Security Officer	
4c. Email address:	4c. (b)(6)@sec.gov	
4d. Phone number:	4d. (b)(6)	
PART B: Officials with Original Classification Authority		
5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.		5. N/A
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.		6. N/A
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.		7. N/A
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, and 7)		8. 0
PART C: Original Classification Decisions		
Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories from section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all original classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.		9. N/A
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.		10. N/A
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 and 10)		11. 0
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.		12. N/A
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.		13. N/A
14. Total number of SECRET original classification decisions. (Sum of blocks 12 and 13)		14. 0
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.		15. N/A
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.		16. N/A
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 and 16)		17. 0
18. Total number of original classification decisions. (Sum of blocks 11, 14, and 17)		18. 0



<b>PART D: Derivative Classification Decisions</b>		
Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
19. Enter the number of derivative <b>TOP SECRET</b> classification decisions made during the reporting period.	19.	0
20. Enter the number of derivative <b>SECRET</b> classification decisions made during the reporting period.	20.	16
21. Enter the number of derivative <b>CONFIDENTIAL</b> classification decisions made during the reporting period.	21.	0
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	22.	16
<b>PART E: Mandatory Declassification Review Requests</b>		
A "Request" is an individual initial review request, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision.		
23. Enter the number of <b>REQUESTS</b> received during the reporting period.	23.	0
24. Enter the number of <b>REQUESTS</b> closed during the reporting period.	24.	0
25. Of the <b>REQUESTS</b> entered into block 24, enter the number of pages that were:	25.	
a. Declassified in full.	25a.	0
b. Declassified in part.	25b.	0
c. Denied declassification.	25c.	0
d. Total number of requested pages acted on. (Sum of blocks 25a, 25b, and 25c)	25d.	0
26. Enter the number of <b>REQUESTS</b> that have been unresolved for over one year.	26.	0
27. Enter the <b>AVERAGE NUMBER OF DAYS</b> to resolve each request.	27.	0
28. Enter the number of <b>REFERRED REQUESTS</b> received during the reporting period. (Number of requests referred to your agency from another agency)	28.	0
<b>PART F: Mandatory Declassification Review Appeals</b>		
An "Appeal" is an individual request for appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only appeals for your agency in which your agency is responsible for the final decision.		
29. Enter the number of <b>APPEALS</b> received during the reporting period.	29.	0
30. Enter the number of <b>APPEALS</b> closed during the reporting period.	30.	0
31. Of the <b>APPEALS</b> entered into block 30, enter the number of pages that were:	31.	
a. Declassified in full.	31a.	0
b. Declassified in part.	31b.	0
c. Denied declassification.	31c.	0
d. Total number of appealed pages acted on. (Sum of blocks 31a, 31b, and 31c)	31d.	0
32. Enter the number of <b>APPEALS</b> that have been unresolved for over one year.	32.	0
33. Enter the <b>AVERAGE NUMBER OF DAYS</b> to resolve each appeal.	33.	0
34. Enter the number of <b>REFERRED APPEALS</b> received during the reporting period. (Number of appeals referred to your agency from another agency)	34.	0

PART G: Automatic, Systematic, and Discretionary Declassification Reviews		
35. Enter the number of pages REVIEWED that were subject to automatic declassification under section 3.3 of E.O. 13526.	35.	0
36. Enter the number of pages DECLASSIFIED under automatic declassification.	36.	0
37. Enter the number of pages REVIEWED that were subject to systematic declassification under section 3.4 of E.O. 13526.	37.	0
38. Enter the number of pages DECLASSIFIED under systematic declassification.	38.	0
39. Enter the number of pages REVIEWED that were subject to discretionary declassification under section 3.1 of E.O. 13526.	39.	0
40. Enter the number of pages DECLASSIFIED under discretionary declassification.	40.	0
PART H: Internal Agency Oversight		
41. Enter the number of CHALLENGES processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	41.	0
42. Enter the number of CHALLENGES where the classification status was fully affirmed.	42.	0
43. Enter the number of CHALLENGES where the classification status was overturned in whole or in part.	43.	0
PART I: Intelligence Community (IC) Information		
This section applies ONLY to IC agencies and IC components of other agencies for inclusion in the ODNI annual report. If you are required to make a classified submission, please annotate that in Section J and send the data across the appropriate system.		
Enter the requested information regarding your organization's disseminated analytical product originally marked ORCON.		
44. Enter the PERCENTAGE of analytical product originally marked ORCON.	44.	N/A
45. Enter the TOTAL NUMBER of analytical product originally marked ORCON.	45.	N/A
46. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in full.	46.	N/A
47. Enter the NUMBER OF RELIEF REQUESTS approved for further dissemination of ORCON in part. Provide rationale for denial in Part J below.	47.	N/A
48. Enter the number of ORCON relief requests DENIED (provide explanation in Part J below).	48.	N/A
Enter the requested information on your organization's analytical product originally marked ORCON-USGOV.		
49. Enter the PERCENTAGE of analytical product originally marked ORCON-USGOV.	49.	N/A
50. Enter the TOTAL NUMBER of analytical product originally marked ORCON-USGOV.	50.	N/A
51. Enter the TOTAL NUMBER of reports of potential misapplication of the ORCON marking. Provide background information on each occurrence in Part J below.	51.	N/A
52. Has your organization been UNABLE TO RECEIVE OR SHARE INFORMATION in the performance of its mission due to ORCON or ORCON-USGOV? If yes, explain in Part J below.	52.	N/A
Enter the requested information on your organization's Workforce Training.		
53. Provide the PERCENTAGE of your workforce that has completed derivative classification training.	53.	N/A
54. Provide the PERCENTAGE of your workforce that has completed ORCON/ORCON-USGOV specific training.	54.	N/A

**PART J: Explanatory Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.*

The SEC's Classified Computer Information Systems, Joint Worldwide Intelligence Communication System (JWICS) and Homeland Secure Data Network (HSDN) became fully operational in November 2015 and January 2016 respectively. Since the installation of the classified computer information systems our capability to apply derivative classification decisions has increased.



OFFICE OF  
SUPPORT OPERATIONS

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
WASHINGTON, D.C. 20549

October 25, 2017

MEMORANDUM: Mark A. Bradley  
Director, Information Security Oversight Office  
National Archives and Records Administration

FROM: Barry Walters *Barry Walters*  
Director, Office of Support Operations

SUBJECT: Annual Agency Security Classification Management Program Data

This memorandum accompanies the United States Securities and Exchange Commission's (SEC's) Agency Security Classification Management Program Data. This memorandum and the accompanying enclosure constitute my submission as the Senior Agency Official's (SAO's) annual report to the Director of the Information Security Oversight Office (ISOO) on behalf of the SEC as required under E.O. 13526, "Classified National Security Information" (CNSI) and its implementing directive 32 CFR Part 2001.

I endorse the enclosure reporting the agency's statistics regarding security classification. The point of contact for this memorandum is LeRoy Woodall, Special Security Officer at (b)(6)@sec.gov or (b)(6).

Enclosure: Agency Security Classification Management Program Data (SF 311)



# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying Information	
1. Enter the Fiscal Year that this report covers.	1. 2017
2. Identify the Department, Independent agency, or Establishment that is covered by this report.	2. SEC: Securities and Exchange Commission
3. Enter the name and title of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Barry Walters, Director of OSO/Chief FOIA Officer
4. Point-of-contact responsible for answering questions about this report:	
4a. Name:	4a. LeRoy Woodall
4b. Title:	4b. Special Security Officer
4c. Email address:	4c. (b)(6)@sec.gov
4d. Phone number:	4d. (b)(6)
PART B: Official with Original Classification Authority	
5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5. N/A
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6. N/A
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7. N/A
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, and 7)	8. 0
PART C: Original Classification Decisions	
Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by, or in, or under the control of the United States Government; (3) it falls into at least one of the categories from section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Source: Classification as an original classification decision, regardless of the media, including those documents that disseminated via email. Do not count reproductions or copies.)	
9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9. N/A
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10. N/A
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 and 10)	11. 0
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12. N/A
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13. N/A
14. Total number of SECRET original classification decisions. (Sum of blocks 12 and 13)	14. 0
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15. N/A
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16. N/A
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 and 16)	17. 0
18. Total number of original classification decisions. (Sum of blocks 11, 14, and 17)	18. 0

## SEC: Securities and Exchange Commission

PART 19 - Derivative Classification Decisions		
Derivative classification is the incorporation, paraphrasing, summarizing, or generating in new form information that is already classified. This includes classification based on classification guidance which covers documents, materials, information, or all classification decisions regardless of the media, including those disseminated and disseminated via email. Do not count reproductions of copies.		
19. Enter the number of derivative TOP SECRET classification decisions made during the reporting period.	19.	0
20. Enter the number of derivative SECRET classification decisions made during the reporting period.	20.	29
21. Enter the number of derivative CONFIDENTIAL classification decisions made during the reporting period.	21.	0
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	22.	29
PART 20 - Mandatory Declassification Review Requests		
A "Request" is an individual initial review request, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision.		
23. Enter the number of REQUESTS received during the reporting period.	23.	0
24. Enter the number of REQUESTS closed during the reporting period.	24.	0
25. Of the REQUESTS entered into block 24, enter the number of pages that were:	25.	
a. Declassified in full.	25a.	0
b. Declassified in part.	25b.	0
c. Denied declassification.	25c.	0
d. Total number of requested pages acted on. (Sum of blocks 25a, 25b, and 25c)	25d.	0
26. Enter the number of REQUESTS that have been unresolved for over one year.	26.	0
27. Enter the AVERAGE NUMBER OF DAYS to resolve each request.	27.	0
28. Enter the number of REFERRED REQUESTS received during the reporting period. (Number of requests referred to your agency from another agency)	28.	0
PART 21 - Mandatory Declassification Review Appeals		
An "Appeal" is an individual request for appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only appeals for your agency in which your agency is responsible for the final decision.		
29. Enter the number of APPEALS received during the reporting period.	29.	0
30. Enter the number of APPEALS closed during the reporting period.	30.	0
31. Of the APPEALS entered into block 30, enter the number of pages that were:	31.	
a. Declassified in full.	31a.	0
b. Declassified in part.	31b.	0
c. Denied declassification.	31c.	0
d. Total number of appealed pages acted on. (Sum of blocks 31a, 31b, and 31c)	31d.	0
32. Enter the number of APPEALS that have been unresolved for over one year.	32.	0
33. Enter the AVERAGE NUMBER OF DAYS to resolve each appeal.	33.	0
34. Enter the number of REFERRED APPEALS received during the reporting period. (Number of appeals referred to your agency from another agency)	34.	0

<b>PART G: Automatic, Systematic, and Discretionary Declassification Review</b>		
35. Enter the number of pages <b>REVIEWED</b> that were subject to <b>automatic declassification</b> under section 3.3 of E.O. 13526.	35.	0
36. Enter the number of pages <b>DECLASSIFIED</b> under automatic declassification.	36.	0
37. Enter the number of pages <b>REVIEWED</b> that were subject to <b>systematic declassification</b> under section 3.4 of E.O. 13526.	37.	0
38. Enter the number of pages <b>DECLASSIFIED</b> under systematic declassification.	38.	0
39. Enter the number of pages <b>REVIEWED</b> that were subject to <b>discretionary declassification</b> under section 3.1 of E.O. 13526.	39.	0
40. Enter the number of pages <b>DECLASSIFIED</b> under discretionary declassification.	40.	0
<b>PART H: Internal Agency Oversight</b>		
41. Enter the number of <b>CHALLENGES</b> processed by your agency to the classification of information believed to be <b>improperly classified or unclassified</b> . (E.O. 13526, section 1.8)	41.	0
42. Enter the number of <b>CHALLENGES</b> where the classification status was <b>fully affirmed</b> .	42.	0
43. Enter the number of <b>CHALLENGES</b> where the classification status was <b>overturned in whole or in part</b> .	43.	0
<b>PART I: Intelligence Community (IC) Information</b>		
This section applies <b>ONLY</b> to IC agencies and IC components of other agencies for inclusion in the OPI annual report. If you are required to make a classified submission, please annotate it in Section I and select the appropriate system.		
Enter the requested information regarding your organization's disseminated analytical product originally marked <b>ORCON</b> .		
44. Enter the <b>PERCENTAGE</b> of analytical product originally marked <b>ORCON</b> .	44.	N/A
45. Enter the <b>TOTAL NUMBER</b> of analytical product originally marked <b>ORCON</b> .	45.	N/A
46. Enter the <b>NUMBER OF RELIEF REQUESTS</b> approved for further dissemination of <b>ORCON</b> in full.	46.	N/A
47. Enter the <b>NUMBER OF RELIEF REQUESTS</b> approved for further dissemination of <b>ORCON</b> in part. Provide rationale for denial in Part J below.	47.	N/A
48. Enter the number of <b>ORCON</b> relief requests <b>DENIED</b> (provide explanation in Part J below).	48.	N/A
Enter the requested information on your organization's analytical product originally marked <b>ORCON-USGOV</b> .		
49. Enter the <b>PERCENTAGE</b> of analytical product originally marked <b>ORCON-USGOV</b> .	49.	N/A
50. Enter the <b>TOTAL NUMBER</b> of analytical product originally marked <b>ORCON-USGOV</b> .	50.	N/A
51. Enter the <b>TOTAL NUMBER</b> of reports of potential misapplication of the <b>ORCON</b> marking. Provide background information on each occurrence in Part J below.	51.	N/A
52. Has your organization been <b>UNABLE TO RECEIVE OR SHARE INFORMATION</b> in the performance of its mission due to <b>ORCON</b> or <b>ORCON-USGOV</b> ? If yes, explain in Part J below.	52.	N/A
Enter the requested information on your organization's Workforce Training.		
53. Provide the <b>PERCENTAGE</b> of your workforce that has completed derivative classification training.	53.	N/A
54. Provide the <b>PERCENTAGE</b> of your workforce that has completed <b>ORCON/ORCON-USGOV</b> specific training.	54.	N/A

**Part I - Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.*